



2174  
En/B

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	)	Confirmation No.: 5593
	)	
John Beezer, et al.	)	Group Art No. 2174
	)	
Serial No.: 09/455,807	)	Examiner: Sax, Steven Paul
	)	
Filed: December 7, 1999	)	Docket No: 003797.84618

For: Method and Apparatus For Capturing and Rendering  
Text Annotations For Non-Modifiable Electronic Content

**Request for Acknowledgement of Information Disclosure Statements**

U.S. Patent and Trademark Office  
Customer Service Window  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22314

Sir:

Applicants need to receive an indication that the Examiner considered the references during the prosecution of the application. Applicants submitted the references in information disclosure statements filed on the following dates:

1. March 23, 2001
2. July 13, 2001
3. February 3, 2003
4. June 24, 2003
5. July 22, 2003
6. October 7, 2003
7. November 26, 2003
8. January 16, 2004
9. January 22, 2004
10. September 15, 2004
11. June 3, 2005

The undersigned has checked both PAIR and IFW. The two systems do not contain all IDSs and are not consistent.

**BEST AVAILABLE COPY**

John Beezer, et al.  
Application Serial No.: 09/455,807

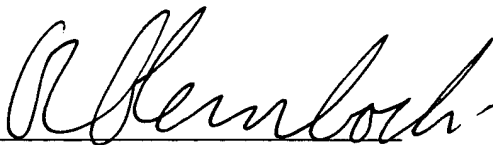
Accordingly, Applicants submit another copy of the IDSs, PTO 1449s, and, where relevant, copies of the stamped post cards. Applicants note that, on the first two IDSs, not all references were initialed as considered.

Applicants request the Examiner initial each reference on each submission and forward a copy to the undersigned in due course.

Respectfully submitted,

BANNER & WITCOFF, LTD.

Dated: June 29, 2005

By:   
Christopher R. Glembocki  
Registration No. 38,800

1001 G Street, N.W.  
Washington, D.C. 20001-4597  
(202) 824-3000

PTO-1449 (Modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

03797.84618

SERIAL NUMBER

09/455,807

APPLICANT

John Beezer et al.

INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

FILING DATE

December 7, 1999

GROUP ART UNIT

2773

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO
<i>ll</i>	WO 97/22109	6/1997	PCT			

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

<i>ll</i>	Schilit et al., "Digital Library Information Appliances", pgs. 217-225, 1998.
<i>ll</i>	Graefe et al., "Designing the muse: A Digital Music Stand for the Symphony Musician", pgs. 436-440, 1996.
	International Search Report

EXAMINER

Sax

DATE CONSIDERED

7/02

XAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant.

PTO-1449 (Modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE STATEMENT  
BY APPLICANTATTY. DOCKET NO.  
03797.84618SERIAL NUMBER  
09/455,807

APPLICANT

John Beezer et al.

FILING DATE

December 7, 1999

GROUP ART UNIT

2773

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
<i>[initials]</i>	5,983,248	11/1999	DeRose et al.	<i>[initials]</i>	<i>[initials]</i>	
<i>[initials]</i>	5,937,416	8/1999	Menzel	<i>[initials]</i>	<i>[initials]</i>	
<i>[initials]</i>	5,893,126	4/1999	Drews et al.	<i>[initials]</i>	<i>[initials]</i>	
<i>[initials]</i>	5,760,773	6/1998	Berman et al.	<i>[initials]</i>	<i>[initials]</i>	
<i>[initials]</i>	5,737,599	4/1998	Rowe et al.	<i>[initials]</i>	<i>[initials]</i>	
<i>[initials]</i>	5,682,439	10/1997	Beermink et al.	<i>[initials]</i>	<i>[initials]</i>	
<i>[initials]</i>	5,146,552	9/1992	Cassoria et al.	<i>[initials]</i>	<i>[initials]</i>	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO
<i>[initials]</i>	WO 99/49383	9/1999	PCT	<i>[initials]</i>	<i>[initials]</i>	
<i>[initials]</i>	WO 98/06054	2/1998	PCT	<i>[initials]</i>	<i>[initials]</i>	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	International Search Reports

EXAMINER

*59x*

DATE CONSIDERED

*7/02*

EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant.



☒ **PATENT** ☐ **DESIGN** B&W Ref. 003797.84618 Date 02-03-03

☐ **HAND CARRY** Group/Section 2174 Bldg Rm

Serial/Patent No. Inventor John L. Beezer, et al. Atty/Sec Client Microsoft

Title Method and Apparatus for Capturing and Rendering Text Annotations for Non-Modifiable Electronic Content

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

<input type="checkbox"/> total pp Spec. including: # of Claims	<input type="checkbox"/> Sequence Listing: <input type="checkbox"/> Diskette <input type="checkbox"/> Paper
(# of independent claims): <input type="checkbox"/> Abstract	<input type="checkbox"/> Amendment <input type="checkbox"/> Response: OA dtd
<input type="checkbox"/> Drawings: <input type="checkbox"/> Formal <input type="checkbox"/> Informal	<input type="checkbox"/> Petition for Extension of Time until
# of distinct sheets: Figs	<input type="checkbox"/> CPA <input type="checkbox"/> RCE <input type="checkbox"/> w/Ext of Time: OA dtd
<input type="checkbox"/> Declaration/Power of Attorney: <input type="checkbox"/> Executed <input type="checkbox"/> Unexecuted	<input type="checkbox"/> Request for Approval of Drawing Changes
<input type="checkbox"/> Assignment w/PTO Cover Sheet	<input type="checkbox"/> Notice of Appeal & Fee
<input checked="" type="checkbox"/> U.S. w/PTO 1449 <input checked="" type="checkbox"/> References <input checked="" type="checkbox"/> w/Fee	<input type="checkbox"/> Brief: <input type="checkbox"/> Appeal & Fee <input type="checkbox"/> Reply
<input type="checkbox"/> Preliminary Amendment	<input type="checkbox"/> Request for Oral Hearing
<input type="checkbox"/> Priority Claim (Foreign or U.S. Provisional B&W #)	<input type="checkbox"/> Issue Fee <input type="checkbox"/> Advance Patent Copies (# ordered)
Country: Appl. # Date	Notice of Allowance dtd
<input type="checkbox"/> w/Foreign Priority Document(s)	<input type="checkbox"/> Amendment under 37 CFR 1.312
<input type="checkbox"/> Application: <input type="checkbox"/> CIP <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional	<input type="checkbox"/> Request for Certificate of Correction
Parent Ser. No. B&W#	<input checked="" type="checkbox"/> Transmittal <input type="checkbox"/> Transmittal w/Auth. to Charge Deposit Acct.
<input checked="" type="checkbox"/> U.S. Provisional pp Spec/Claims Cover Sheet	<input type="checkbox"/> Certificate of Mailing
<input type="checkbox"/> Response to Missing Parts/Requirements dtd	<input type="checkbox"/> Check #
<input type="checkbox"/> Response to Notice to File Corrected Appln. Papers dtd	
<input type="checkbox"/> Request for Expedited Foreign Filing License	
<input type="checkbox"/> Request for Corrected: <input type="checkbox"/> Filing Receipt <input type="checkbox"/> Assignment	
<input type="checkbox"/> Response to Restriction/Election Requirement	

Country: Appl. # Date

Parent Ser. No. B&W#

U.S. Provisional pp Spec/Claims Cover Sheet

Response to Missing Parts/Requirements dtd

Response to Notice to File Corrected Appln. Papers dtd

Request for Expedited Foreign Filing License

Request for Corrected: ☐ Filing Receipt ☐ Assignment

Response to Restriction/Election Requirement

4

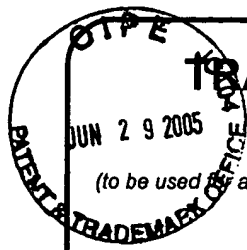
Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>Application Number</b>		09/455,807			
		<b>Filing Date</b>		December 7, 1999	
		<b>First Named Inventor</b>		John L. Beezer, et al.	
		<b>Group Art Unit</b>		2174	
		<b>Examiner Name</b>		S. P. Sax	
<b>Total Number of Pages in This Submission</b>		4	<b>Attorney Docket Number</b>		003797.84618

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
<b>Remarks</b>		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

<b>Firm or Individual name</b>	Darrell G. Mottley, Reg. No. 42,912
<b>Signature</b>	
<b>Date</b>	February 3, 2003

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <input type="text"/>			
<b>Typed or printed name</b>			
<b>Signature</b>		<b>Date</b>	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**FEE TRANSMITTAL  
for FY 2003**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$)** 180**Complete if Known**

Application Number	09/455,807
Filing Date	December 7, 1999
First Named Inventor	John L. Beezer, et al.
Examiner Name	S. P. Sax
Art Unit	2174
Attorney Docket No.	003797.84618

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:Deposit  
Account  
Number

19-0733

Deposit  
Account  
Name

Banner &amp; Witcoff, Ltd.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

**SUBTOTAL (1)**

(\$ 0)

**2. EXTRA CLAIM FEES**

		Extra Claims	Fee from below	Fee Paid
Total Claims		0	X	0
Independent Claims		0	X	0
Multiple Dependent			X	0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

(\$ 0)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>exparte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	


Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

(\$ 180)

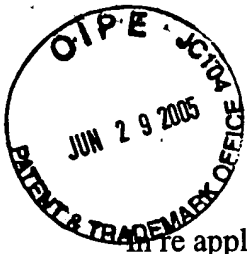
**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Darrell G. Mottley	Registration No. Attorney/Agent)	42,912	Telephone	(202) 824-3142
Signature				Date	February 3, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form.

Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231



PATENTS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

John L. Beezer, et al.

Serial No.: 09/455,807

Filed: December 7, 1999

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Group Art No. 2174

Examiner: S. P. Sax

Docket No: 003797.84618

For: **METHOD AND APPARATUS FOR CAPTURING AND RENDERING TEXT  
ANNOTATIONS FOR NON-MODIFIABLE ELECTRONIC CONTENT**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with 37 C.F.R. §1.97 and §1.98, enclosed is PTO Form-1449 listing documents for consideration by the Examiner and a copy of each of the identified documents. It is respectfully requested that the initialed Form 1449 be referred to applicants with next office communication on the merits.

The Commissioner is authorized to charge our Deposit Account No. 19-0733 in the amount of \$180 for the fee set forth in 37 C.F.R. § 1.17(p).

Respectfully submitted,

Dated: February 3, 2003

By:

Darrell G. Mottley  
Registration No. 42,912

BANNER & WITCOFF, LTD.  
1001 G Street, N.W., 11<sup>th</sup> Floor  
Washington, D.C. 20001-4597  
(202) 824-3000



Substitution for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>			<b>Complete If Known</b>		
			Application Number	09/455,807	
			Filing Date	December 7, 1999	
			First Named Inventor	John L. Beezer, et al.	
			Group Art Unit	2174	
			Examiner Name	S.P. Sax	
			Attorney Docket Number	003797.84618	
Sheet	1	of	1		

[illegible][illegible]

Examiner Signature		Date Considered	
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.



☒ PATENT ☐ DESIGN B&W Ref. 003797.8408 Date 6/24/03  
☐ HAND CARRY Group/Section \_\_\_\_\_ Bldg \_\_\_\_\_ Rm \_\_\_\_\_  
Serial/Patent No. 09/453,807 Atty/Sec SMF/100  
Inventor Becker et al

☒ PATENT ☐ DESIGN B&W Ref. 003797.8408 Date 6/24/03  
☐ HAND CARRY Group/Section \_\_\_\_\_ Bldg \_\_\_\_\_ Rm \_\_\_\_\_  
Serial/Patent No. 09/453,807 Atty/Sec SMF/100  
Inventor Becker et al Client Microsoft  
Title Method and apparatus for capturing and rendering text annotations for modification  
The following has been reserved in the U.S. Patent and Trademark Office on the date stamped hereon:  
☐ total pp Spec. including: # of Claims \_\_\_\_\_  
# of independent claims \_\_\_\_\_  
☐ Abstract \_\_\_\_\_  
☐ Drawings: ☐ Formal ☐ Informal \_\_\_\_\_  
# of distinct sheets \_\_\_\_\_ Figs. \_\_\_\_\_  
☐ Declaration/Power of Attorney: ☐ Executed ☐ Unexecuted \_\_\_\_\_  
☐ Assignment w/PTO Cover Sheet \_\_\_\_\_  
☒ IDS w/PTO 1449 ☒ References ☐ w/Fee \_\_\_\_\_  
☐ Preliminary Amendment \_\_\_\_\_  
☐ Priority Claim (Foreign or U.S. Provisional B&W # \_\_\_\_\_)  
Country \_\_\_\_\_ Appl. # \_\_\_\_\_ Date \_\_\_\_\_  
☐ w/Foreign Priority Document(s) \_\_\_\_\_  
☐ Application: ☐ CIP ☐ Continuation ☐ Divisional \_\_\_\_\_  
Parent Ser. No. \_\_\_\_\_ B&W# \_\_\_\_\_  
☐ U.S. Provisional \_\_\_\_\_ pp Spec/Claims, Cover Sheet \_\_\_\_\_  
☐ Response to Missing Parts/Requirements doi \_\_\_\_\_  
☐ Response to Notice to File Corrected Appl. Papers doi \_\_\_\_\_  
☐ Request for Expedited Foreign Filing License \_\_\_\_\_  
☐ Request for Corrected: ☐ Filing Receipt ☐ Assignment \_\_\_\_\_  
☐ Response to Restriction/Election Requirement \_\_\_\_\_  
☐ Sequence Listing: ☐ Diskette ☐ Paper \_\_\_\_\_  
☐ Amendment ☐ Response: OA doi \_\_\_\_\_  
☐ Petition for Extension of Time until \_\_\_\_\_  
☐ CPA ☐ RCE ☐ w/Ext of Time: OA doi \_\_\_\_\_  
☐ Request for Approval of Drawing Changes \_\_\_\_\_  
☐ Notice of Appeal & Fee \_\_\_\_\_  
☐ Brief: ☐ Appeal & Fee ☐ Reply \_\_\_\_\_  
☐ Request for Oral Hearing \_\_\_\_\_  
☐ Issue Fee ☐ Advance Patent Copies (# ordered) \_\_\_\_\_  
☐ Notice of Allowance doi \_\_\_\_\_  
☐ Amendment under 37 CFR 1.312 \_\_\_\_\_  
☐ Request for Certificate of Correction \_\_\_\_\_  
☒ Transmittal ☒ Fee Transmittal w/Auth. to Charge Deposit Acct \_\_\_\_\_  
☐ Certificate of Mailing \_\_\_\_\_  
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B&W Rev. 501



20



Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/455,807
	Filing Date	12/07/1999
	First Named Inventor	John L. Beezer et al.
	Group Art Unit	2174
	Examiner Name	S. P. Sax
Total Number of Pages in This Submission	Attorney Docket Number	003797.84618

ENCLOSURES (check all that apply)				
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <b>3 PTO 1449 Forms; 36 U.S. patents; 1 published application; 1 foreign patent document; and 3 non-patent documents</b>		
<table border="1"><tr><td>Remarks</td><td></td></tr></table>			Remarks	
Remarks				

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Gary D. Fedorochko, Reg. No. 35,509
Signature	
Date	June 24, 2003

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <input type="text"/>			
Typed or printed name			
Signature		Date	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



**PATENT APPLICATION**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:	)	Group Art Unit: 2174
	)	
John L. Beezer et al.	)	
	)	
Serial Number: 09/455,807	)	Attorney Docket No. 003797.84618
	)	
Filed: 12/07/1999	)	Confirmation No. 5593

For: METHOD AND APPARATUS FOR CAPTURING AND RENDERING TEXT  
ANNOTATIONS FOR NON-MODIFIABLE ELECTRONIC CONTENT

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with 37 C.F.R. §1.97 and §1.98, enclosed are PTO Forms 1449 listing art for consideration by the Examiner and a copy of each of the identified documents.

The references contained in this information disclosure statement were cited by the Examiner in related applications U.S. Serial Nos. 09/455,805; 09/457,109; 09/456,249; 09/455,806; 09/455,754; and 09/456,975 not more than three months prior to the filing of this Information Disclosure Statement.

The submission of the listed documents is not intended as an admission that any such documents constitute prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed documents as a competent reference against the claims of the present application.

Consideration of all information is respectfully requested.

**Information Disclosure Statement**

Serial No. 09/455,807

Page 2

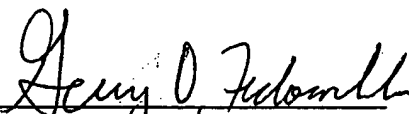
The undersigned certifies under 37 C.F.R. § 1.97(e)(2) that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the information disclosure statement.

The accompanying Information Disclosure Statement is being filed after the mailing date of a final Office Action on the merits. Therefore, authorization is given to charge Deposit Account No. 19-0733 for the \$180.00 fee. In the event there is a discrepancy with the fee, please charge or credit Deposit Account No. 19-0733. Further, the Commissioner is authorized to charge any additional fees that may be required or credit any overpayment to our Deposit Account No. 19-0733.

It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed PTO Forms 1449 in the appropriate place to indicate that the documents have been considered, and return a copy of the initialed forms to the undersigned in accordance with MPEP Section 609.

Respectfully submitted,

Date: June 24, 2003

By:   
Gary D. Fedorochko  
Registration No. 35,509

Banner & Witcoff, LTD  
1001 G Street, N.W.  
Washington, D.C. 20001-4597  
(202) 824-3000

PTO/SB/08A (10-01)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	3
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**Complete if Known**

Application Number	09/455,807
Filing Date	12/07/1999
First Named Inventor	John L. Beezer et al.
Group Art Unit	2174
Examiner Name	S.P. Sax
Attorney Docket Number	003797.84618

## U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US 5,239,466	08/24/1993	Morgan et al.	
		US 5,572,643	11/05/1996	Judson	
		US 5,632,022	05/20/1997	Warren et al.	
		US 5,729,687	03/17/1998	Rothrock et al.	
		US 5,560,621	05/06/2003	Barile	
		US 6,490,603 B1	12/03/2002	Keenan et al.	
		US 6,446,110 B1	09/03/2002	Lection et al.	
		US 6,535,294 B1	03/18/2003	Arledge, Jr. et al.	
		US 6,539,370 B1	03/25/2003	Chang et al.	
		US 6,301,590 B1	10/09/2001	Slow et al.	
		US 6,205,455 B1	03/20/2001	Umen et al.	
		US 6,393,422 B1	05/21/2002	Wong	
		US 6,052,514	04/18/2000	Gill et al.	
		US 6,122,649	09/19/2000	Kanerva et al.	
		US 6,271,840 B1	08/07/2001	Finseth et al.	
		US 5,877,757	03/02/1999	Baldwin et al.	
		US 5,978,816	11/02/1999	Lin	
		US 6,321,244 B1	11/20/2001	Liu et al.	
		US 6,405,221 B1	06/11/2002	Levine et al.	
		US 5,931,912	08/03/1999	Wu et al.	
		US 5,801,687	09/01/1998	Peterson et al.	

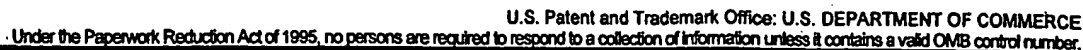
## FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner  
Signature**

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet	2	of	3
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**Complete if Known**

Application Number	09/455,807
Filing Date	12/07/1999
First Named Inventor	John L. Beezer et al.
Group Art Unit	2174
Examiner Name	S.P. Sax
Attorney Docket Number	003797 84618

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

**Examiner  
Signature**

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.



PTO/SB/08B(10-01)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	09/455,807
		Filing Date	12/07/1999
		First Named Inventor	John L. Beezer et al.
		Group Art Unit	2174
		Examiner Name	S.P. Sax
Sheet 3 of 3		Attorney Docket Number	003797.84618

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		*Adobe Acrobat 3.0 Reader Online Guide*, Adobe Systems, Inc., pages 1-110	
		Open eBook Forum, Open eBook™ Publication Structure 1.0, <a href="http://www.ebxwg.org/oebps/oebps1.0/download/oeb1-oebps.htm">http://www.ebxwg.org/oebps/oebps1.0/download/oeb1-oebps.htm</a>	
		KRISTENSEN, A., "Formsheets and the XML Forms Language" (March 1999)	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 2023





☒ PATENT ☐ DESIGN B&W Ref. 03797-84618 Date 7/22/03

☐ HAND CARRY Group/Section

Serial/Patent No. 091455-807

Bldg

Rm

Inventor

Atty/Sec

Client

Title

Method And Apparatus For Capturing And Rendering Text Annotations For

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

☐ total no Spec. including : # of Claims

(# of independent claims)

☐ Abstract

☒ Drawings

☐ Formal

☐ Informal

# of distinct sheets

☐ Figs

☒ Declaration/Power of Attorney

☐ Executed

☐ Unexecuted

☐ Assignment w/PTO Cover Sheet

☒ IDS w/PTO 1449

☐ References

☐ w/Fee

☐ Preliminary Amendment

☐ Priority Claim (Foreign or U.S. Provisional B&W #)

☐ Sequence Listing

☐ Diskette

☐ Paper

☐ Amendment

☐ Response : OA dtd

☐ Petition for Extension of Time until

☐ CPA

☐ RCE

☐ w/Ext of Time : OA dtd

☐ Request for Approval of Drawing Changes

☐ Notice of Appeal & Fee

☐ Brief :

☐ Appeal & Fee

☐ Reply

☐ Request for Oral Hearing

☐ Issue Fee

☐ Advance Patent Copies ordered

☐ Notice of Allowance dtd

☐ Amendment under 37 CFR 1.312

☐ Request for Certificate of Correction

☐ Transmittal

☐ Fee Transmittal w/Auth. to Charge Deposit Acct.

☐ Certificate of Mailing

☐ Check #

for \$

Country

Appl. #

Date

☐ w/Foreign Priority Document(s)

☐ Application :

☐ CIP

☐ Continuation

☐ Divisional

Parent Ser. No.

B&W#

☐ U.S. Provisional no Spec/Claims: Cover Sheet

☐ Response to Missing Parts/Requirements dtd

☐ Response to Notice to File Corrected Appn. Papers dtd

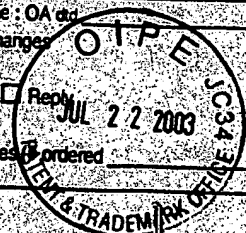
☐ Request for Expedited Foreign Filing License

☐ Request for Corrected :

☐ Filing Receipt

☐ Assignment

☐ Response to Restriction/Election Requirement



Deposit Acct.

B&W Rev. 5/01

B&W Rev. 5/01

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

John L. Beezer et al.

Serial No: 09/455,807

Filed: December 7, 1999

For: METHOD AND APPARATUS FOR  
CAPTURING AND RENDERING  
TEXT ANNOTATIONS FOR NON-  
MODIFIABLE ELECTRONIC CONTENT )



Group Art No. 2174

Examiner: S. P. Sax

Docket No. 003797.84618

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §1.56 and in compliance with 37 C.F.R. §1.97, Applicants submit herewith Form PTO-1449 identifying information for consideration by the Examiner. A copy of the references cited are enclosed.

Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as a reference against the claims of the present application.

Consideration of the cited information and making the same of record in the prosecution of the above-noted application are respectfully requested. Should the Patent and Trademark Office determine that a fee is required, please charge our Deposit Account No. 19-0733.

Respectfully submitted,

**BANNER & WITCOFF, LTD.**

By:

A handwritten signature in black ink, appearing to read "Chris R. Glembocki".

Christopher R. Glembocki  
Registration No. 38,800

1001 G. Street, N.W.  
Washington, D.C. 20001-4597  
(202) 824-3000  
Dated: July 22, 2003



Attorney Docket No.  
003797.84618

Serial No.  
09/455,807

Applicant(s): John L. Beezer et al.

Filing Date: December 7, 1999

Group: 2174

### U.S. PATENT DOCUMENTS

Examiner Initial	Patent No.	Date	Name	Class	Subclass	Filing Date (if appropriate)
	5,666,113	9/1997	Logan			
	5,434,929	7/1995	Beernink et al.			

### FOREIGN PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Country	Class	Subclass	Translation	
						YES	NO

### OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)


EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.





**PATENT APPLICATION**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:	)	Group Art Unit: 2174
	)	
John L. Beezer et al.	)	Examiner: S.P. Sax
	)	
Serial Number: 09/455,807	)	Attorney Docket No. 003797.84618
	)	
Filed: December 7, 1999	)	
	)	
For: METHOD AND APPARATUS FOR	)	
CAPTURING AND RENDERING	)	
TEXT ANNOTATIONS FOR NON-	)	
MODIFIABLE ELECTRONIC	)	
CONTENT	)	

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with 37 C.F.R. §1.97 and §1.98, enclosed are PTO Forms 1449 listing art for consideration by the Examiner and a copy of each of the identified documents.

The references contained in this information disclosure statement were cited by the Examiner in Notices of References Cited, which accompanied the Office Action dated September 16, 2003, in related U.S. Application Serial No. 09/455,805.

The submission of the listed documents is not intended as an admission that any such documents constitute prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed documents as a competent reference against the claims of the present application.

Consideration of all information is respectfully requested.

**Information Disclosure Statement**

Serial No. 09/455,807

Page 2

The undersigned certifies under 37 C.F.R. § 1.97(e)(2) that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the information disclosure statement.

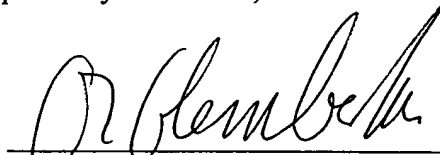
It is believed no fee is due to the U.S. Patent and Trademark Office in connection with this filing. However, in the event there is a discrepancy with the fee, please charge or credit Deposit Account No. 19-0733. Further, the Commissioner is authorized to charge any additional fees that may be required or credit any overpayment to our Deposit Account No. 19-0733.

It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed PTO Forms 1449 in the appropriate place to indicate that the documents have been considered, and return a copy of the initialed forms to the undersigned in accordance with MPEP Section 609.

Respectfully submitted,

Date: October 7, 2003

By:

  
Christopher R. Glembocki  
Registration No. 38,800

Banner & Witcoff, LTD  
1001 G Street, N.W.  
Washington, D.C. 20001-4597  
(202) 824-3000

PTO-1449 (Modified)

ATTY. DOCKET NO.  
003797.84618SERIAL NUMBER  
09/455,807U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEAPPLICANT  
John L. Beezer et al.FILING DATE  
December 7, 1999GROUP ART UNIT  
2174INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	US 6,571,295 B1	05/27/2003	Sidana			
	US 6,279,014 B1	08/21/2001	Schilit et al.			
	US 6,230,171 B1	05/08/2001	Pacifici et al.			
	5,680,636	10/21/1997	Levine et al.			
	5,625,833	04/29/1997	Levine et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Chin-Hwa Kuo et al., "A Synchronization Scheme for Multimedia Annotation", Multimedia Information Networking Laboratory, Tamkang University - Taiwan, IEEE, 1997, pgs. 594-598.
	T. Hirotsu et al., "Cmew/U - A Multimedia Web Annotation Sharing System", NTT Network Innovation Laboratories-Japan, IEEE, 1999, pgs. 356-359.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant.

UNITED STATES PATENT AND TRADEMARK OFFICE  
ACKNOWLEDGEMENT RECEIPT

Electronic Version 1

Stylesheet Version v1.1.1

Title of Invention

Ebook/Active Reading: Test Annotations

Submission Type: Information Disclosure Statement

Application Number: 09/455807

\*09/455807\*

EFS ID: 51338

Server Response:

Confirmation Code	Message
ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application
ICON1	5593
ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later.

First Named Applicant: John Beezer

Attorney Docket Number: 003797.84618

Timestamp: 2003-11-26 12:07:48 EDT

From: us

File Listing:

Doc. Name	File Name	Size (Bytes)
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package-data	us-package-data.xsl	19263
Total files size		73353

Message Digest: 71bb938d4cd4a071a05779d62b3531b4d9185041

Digital Certificate Holder Name: cn=Gary D. Fedorochko,ou=Registered Attorneys,ou=Patent and Trademark Office,ou=Department of Commerce,o=U.S. Government,c=US

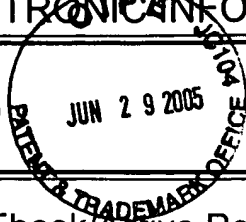


## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

JUN 29 2005



Title of Invention

Ebook/Active Reading: Test Annotations

Application Number: 09/455807

\*09/455807\*

Confirmation Number: 5593

First Named Applicant: John Beezer

Attorney Docket Number: 003797.84618

Art Unit: 2174

Examiner: S Sax

Search string: ( 5680636 or 5727129 or 5838914 or 5893132 or 6049812 or 6195694 or 6199082 or 6486895 or 6549220 or RE34476 or 5471568 or 5719595 or 5940080 ).pn.

**Certification:** This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	5680636	1997-10-21	Levine et al.			
	2	5727129	1998-03-10	Barrett et al.			
	3	5838914	1998-11-17	Carleton et al.			
	4	5893132	1999-04-06	Huffman et al.			
	5	6049812	2000-04-11	Bertram et al.			
	6	6195694	2001-02-27	Chen et al.			
	7	6199082	2001-03-06	Ferrel et al.			
	8	6486895	2002-11-26	Robertson et al.			
	9	6549220	2003-04-15	Hsu et al.			
	10	RE34476	1993-12-14	Norwood			
	11	5471568	1995-11-28	Webb et al.			

	12	5719595	1998-02-17	Hoddie et al.
	13	5940080	1999-08-17	Ruehle et al.

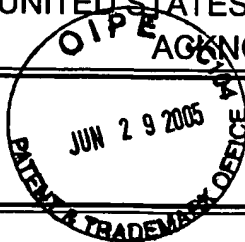
**Remarks**

Note: Remarks are not for responding to an office action.

In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO 1449 form. Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application. It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document has been considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609. The undersigned certifies under 37 CFR 1.97(e)(2) that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. The references contained in this information disclosure statement were cited by the Examiner in a related application. Applicants believe that no fee is necessary pursuant to 37 CFR 1.97(c). However, if a fee is due, the Office is authorized to charge Deposit Account No. 19-0733.

**Signature**

Examiner Name	Date

UNITED STATES PATENT AND TRADEMARK OFFICE  
ACKNOWLEDGEMENT RECEIPTElectronic Version 1.1  
Stylesheet Version v1.1.1

Title of Invention Ebook/Active Reading: Text Annotations

Submission Type: Information Disclosure Statement

Application Number: 09/455807

\*09/455807\*

EFS ID: 53898

Server Response:

Confirmation Code	Message
ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application
ICON1	5593
ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later.

First Named Applicant: John Beezer

Attorney Docket Number: 003797.84618

Timestamp: 2004-01-16 17:34:09 EDT

From: us

File Listing:

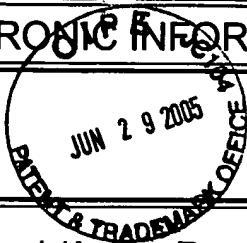
Doc. Name	File Name	Size (Bytes)
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Total files size		71420

Message Digest: 101b538c737301af5e058215508dbbb15bc02782

Digital Certificate Holder Name: cn=Gary D. Fedorochko,ou=Registered Attorneys,ou=Patent and Trademark Office,ou=Department of Commerce,o=U.S. Government,c=US

**ELECTRONIC INFORMATION DISCLOSURE STATEMENT**

Electronic Version v18  
Stylesheet Version v18.0

**Title of Invention****Ebook/Active Reading: Text Annotations**

Application Number: 09/455807 \*09/455807\*  
Confirmation Number: 5593  
First Named Applicant: John Beezer  
Attorney Docket Number: 003797.84618  
Art Unit: 2174  
Examiner: S Sax  
Search string: ( 5437295 or 6018342 or 6647534 ).pn.

Certification: This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

**US Patent Documents**

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	5437295	1994-09-13	Agulnick et al.			
	2	6018342	2000-01-25	Bristor			
	3	6647534	2003-11-11	Graham			

**Remarks**

Note: Remarks are not for responding to an office action.

In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO 1449 form. Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application. It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed Form PTO-1449 in the appropriate place to

indicate that the document has been considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609. The undersigned certifies under 37 CFR 1.97(e)(2) that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. Applicants believe that no fee is necessary pursuant to 37 CFR 1.97(c). However, if a fee is due, the Office is authorized to charge Deposit Account No. 19-0733.

Signature

Examiner Name	Date



☒ PATENT ☐ DESIGN ☐ B&W Ref. 0039784618 Date 1/22/04

☐ HAND CARRY GROUP/Section

Serial/Patent No. 07/185,107 Bldg. 1000/1000

Inventor John L. Beezer et al. Agent M. J. CROSBY

Title Method for separating two capturing and condensing for non-mono-bubble

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

☐ total to Spec. including: # of Claims

(# of independent claims) ☐ Abstract

☐ Drawings: ☐ Formal ☐ Informal

# of distinct sheets ☐ Foreign

☐ Declaration/Power of Attorney: ☐ Executed ☐ Unexecuted

☐ Assignment w/PTO Cover Sheet

☐ IDS w/PTO 1449 ☐ Reference

☐ Preliminary Amendment

☐ Priority Claim (Foreign or U.S. Provisional B&W)

Country Appl. #

☐ w/Foreign Priority Document(s)

Application: ☐ CP ☐ Continuation ☐ Divisional

Patent Sec. No. B&W

☐ U.S. Provisional ☐ to Spec/Claims: Cover Sheet

☐ Response to Missing Parts Requirements as

☐ Response to Notice to File Corrected Appl. Papers as

☐ Request for Expedited Foreign Filing License

☐ Request for Correction: ☐ Filing Receipt ☐ Assignment

☐ Response to Restriction/Election Requirement

☐ Sequence Listing ☐ Docket ☐ Paper

☐ Amendment: ☐ Response: OA as

☐ Reason for Extension of Time und

☐ CPA ☐ IPR ☐ w/Ext of Time: OA as

☐ Request for Approval of Drawing Changes

☐ Notice of Appeal & Fee

☐ Bid: ☐ Appeal & Fee

☐ Request for Oral Hearing

☐ Issue Fee ☐ Advance Patent Copies (if ordered)

☐ Notice of Allowance as

☐ Amendment under 37 CFR 1.312

☐ Request for Certificate of Correction

☐ Transmittal ☐ Fee Transmittal w/ Auth. to Charge Deposit Acct

☐ Certificate of Mailing

☐ Check # for \$

☐ ☐ ☐

☐ ☐ ☐

17



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

JOHN L. BEEZER ET AL.

SERIAL NO.: 09/455, 807

FILED: DECEMBER 7, 1999

FOR: METHOD AND APPARATUS FOR  
CAPTURING AND RENDERING  
TEXT ANNOTATIONS FOR NON-  
MODIFIABLE ELECTRONIC CONTENT

)  
)  
) GROUP ART UNIT: 2174  
)  
) EXAMINER: S.P. SAX  
)  
)  
) ATTY. DKT. NO. 003797.84618  
)  
)  
)  
)

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with 37 C.F.R. §1.97 and §1.98, enclosed is a PTO Form-1449 listing art for consideration by the Examiner and a copy of each of the identified documents. We hereby certify under 37 CFR §197(e)(1) that each item of information contained in the Information Disclosure Statement filed concurrently herewith was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of said Information Disclosure Statement.

Consideration of this information is respectfully requested.


The submission of the listed documents is not intended as an admission that any such documents constitutes prior art against the claims of the present application. Applicant does not

JOHN L. BEEZER ET AL. - U.S. Serial No. 09/455,807

waive any right to take any action that would be appropriate to antedate or otherwise remove any listed documents as a competent reference against the claims of the present application.

The Commissioner is authorized to charge our Deposit Account No. 19-0733 if there is any fee associated with this filing.

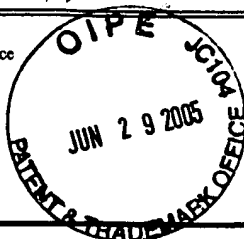
Respectfully submitted,

By:   
Christopher R. Glembocki  
Registration No. 38,800

BANNER & WITCOFF, LTD  
1001 G Street, N.W., 11th Floor  
Washington, D.C. 20001  
(202) 824-3000

Dated: January 22, 2004





Attorney Docket No.  
003797.84618

Serial No.  
09/455,807

Applicant(s): John L. Beezer et al.

Filing Date: December 7, 1999

Group: 2174

### U.S. PATENT DOCUMENTS

Examiner Initial	Patent No.	Date	Name	Class	Subclass	Filing Date (if appropriate)

### FOREIGN PATENT DOCUMENTS

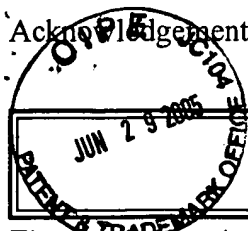
Examiner Initial	Document No.	Date	Country	Class	Subclass	Translation	
						YES	NO
	EP 0 902 379 A2	03/1999	Europe				

### OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)


EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

UNITED STATES PATENT AND TRADEMARK OFFICE  
ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention	Method and Apparatus for Capturing and Rendering Text Annotations for Non-Modifiable Electronic Content																								
<p>Submission Type: Information Disclosure Statement</p> <p>Application Number: 09/455807 *09/455807*</p> <p>EFS ID: 68503</p> <p>Server Response:</p> <table border="1"><thead><tr><th>Confirmation Code</th><th>Message</th></tr></thead><tbody><tr><td>ISVR1</td><td>Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application</td></tr><tr><td>ICON1</td><td>5593</td></tr><tr><td>USPTOEFSNotice</td><td>For assistance with e-filing a patent application, contact the Patent Electronic Business Center: Toll-Free Number:1(866) 217-9197 Website: <a href="http://www.uspto.gov/ebc/">http://www.uspto.gov/ebc/</a></td></tr></tbody></table>		Confirmation Code	Message	ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application	ICON1	5593	USPTOEFSNotice	For assistance with e-filing a patent application, contact the Patent Electronic Business Center: Toll-Free Number:1(866) 217-9197 Website: <a href="http://www.uspto.gov/ebc/">http://www.uspto.gov/ebc/</a>																
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<p>First Named Applicant: John Beezer</p> <p>Attorney Docket Number: 003797.84618</p> <p>Timestamp: 2004-09-15 10:06:13 EDT</p> <p>From: us</p> <p>File Listing:</p> <table border="1"><thead><tr><th>Doc. Name</th><th>File Name</th><th>Size (Bytes)</th></tr></thead><tbody><tr><td>us-ids</td><td>00379784618eIDS091504-usidst.xml</td><td>5364</td></tr><tr><td>us-ids</td><td>us-ids.dtd</td><td>7763</td></tr><tr><td>us-ids</td><td>us-ids.xml</td><td>12026</td></tr><tr><td>package-data</td><td>00379784618eIDS091504-pkda.xml</td><td>1826</td></tr><tr><td>package-data</td><td>package-data.dtd</td><td>27025</td></tr><tr><td>package-data</td><td>us-package-data.xml</td><td>19263</td></tr><tr><td colspan="2">Total files size</td><td>73267</td></tr></tbody></table>		Doc. Name	File Name	Size (Bytes)	us-ids	00379784618eIDS091504-usidst.xml	5364	us-ids	us-ids.dtd	7763	us-ids	us-ids.xml	12026	package-data	00379784618eIDS091504-pkda.xml	1826	package-data	package-data.dtd	27025	package-data	us-package-data.xml	19263	Total files size		73267
Doc. Name	File Name	Size (Bytes)																							
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package-data	package-data.dtd	27025																							
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Total files size		73267																							
<p>Message Digest: 2ac4f8856eef0a761f7043e258bf6bee9ee41ddb</p> <p>Digital Certificate Holder Name: cn=Gary D. Fedorochko,ou=Registered Attorneys,ou=Patent and Trademark Office,ou=Department of Commerce,o=U.S.</p>																									

Government,c=US

JUN 29 2005

## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of  
InventionMethod and Apparatus for Capturing and Rendering Text  
Annotations for Non-Modifiable Electronic Content

Application Number: 09/455807

\*09/455807\*

Confirmation Number: 5593

First Named Applicant: John Beezer

Attorney Docket Number: 003797.84618

Art Unit: 2174

Examiner: Steven Sax

Search string: ( 5630125 or 5689717 or 5838313 or 5862395 or 5933139 or  
6133925 or 6184886 or 6211871 or 6425525 or 6484156 or  
6529920 or 6571211 or 6760884 or 20010031128 ).pn.

Certification: This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	5630125	1997-05-13	Zellweger			
	2	5689717	1997-11-18	Pritt			
	3	5838313	1998-11-17	Hou et al.			
	4	5862395	1999-01-19	Bier			
	5	5933139	1999-08-03	Feigner et al.			
	6	6133925	2000-10-17	Jaremko et al.			
	7	6184886	2001-02-06	Bates et al.			

	8	6211871	2001-04-03	Himmel et al.
	9	6425525	2002-07-30	Swaminathan et al.
	10	6484156	2002-11-19	Gupta et al.
	11	6529920	2003-03-04	Arons et al.
	12	6571211	2003-05-27	Dwyer et al.
	13	6760884	2004-07-06	Vertelney et al.

## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20010031128	2001-10-18	Manbeck			

## Remarks

Note: Remarks are not for responding to an office action.

In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO 1449 form. Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application. It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document has been considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609. The undersigned certifies under 37 CFR 1.97(e)(2) that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. The references contained in this information disclosure statement were cited by the Examiner in a related application. Applicants believe that no fee is necessary pursuant to 37 CFR 1.97(b). However, if a fee is due, the Office is authorized to charge Deposit Account No. 19-0733.

## Signature

Examiner Name	Date
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**UNITED STATES PATENT AND TRADEMARK OFFICE  
ACKNOWLEDGEMENT RECEIPT**

Electronic Version 1.1

Stylesheet Version v1.1.1

**Title of Invention****Method and Apparatus for Capturing and Rendering Text Annotations for Non-Modifiable Electronic Content****Submission Type:** Information Disclosure Statement**Application Number:** 09/455807**\*09/455807\*****EFS ID:** 85547**Server Response:**

Confirmation Code	Message
ISVR1	Submission was successfully submitted - Even if Informational or Warning Messages appear below, please do not resubmit this application
ICON1	5593
USPTOEFSNotice	For assistance with e-filing a patent application, contact the Patent Electronic Business Center: Toll-Free Number:1(866) 217-9197 Website: <a href="http://www.uspto.gov/ebc/">http://www.uspto.gov/ebc/</a>

**First Named Applicant:** John Beezer**Attorney Docket Number:** 003797.84618**Timestamp:** 2005-06-03 16:09:38 EDT**From:** us**File Listing:**

Doc. Name	File Name	Size (Bytes)
us-ids	00379784618eIDS060305-usidst.xml	5231
us-ids	us-ids.dtd	7763
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us-fee-sheet	us-fee-sheet.xsl	25930
us-fee-sheet	us-fee-sheet.dtd	11968
package-data	00379784618eIDS060305-pkda.xml	2306
package-data	package-data.dtd	27025
package-data	us-package-data.xsl	19263
Total files size		113040

**Message Digest:** 39f4b22d554610fdbfef242f820cd6505768a4e4**Digital Certificate Holder Name:** cn=Gary D. Fedorochko,ou=Registered Attorneys,ou=Patent and Trademark Office,ou=Department of Commerce,o=U.S. Government,c=US

JUN 29 2005

**ELECTRONIC INFORMATION DISCLOSURE STATEMENT**

Electronic Version v18

Stylesheet Version v18.0

**Title of Invention****Method and Apparatus for Capturing and Rendering Text Annotations for Non-Modifiable Electronic Content**

Application Number: 09/455807

\*09/455807\*

Confirmation Number: 5593

First Named Applicant: John Beezer

Attorney Docket Number: 003797.84618

Art Unit: 2174

Examiner: Steven Sax

Search string: ( 6320577 or 6573907 or 6687878 or 6871318 or 5390138 or 6636238 or 6055538 or 5801685 or 5644674 or 6144375 or 6418421 or 20020194260 ).pn.

**Certification:** This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

**US Patent Documents**

**Note:** Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	6320577	2001-11-20	Alexander			
	2	6573907	2003-06-03	Madrane			
	3	6687878	2004-02-03	Eintracht et al.			
	4	6871318	2005-03-22	Wynblatt et al.			
	5	5390138	1995-02-14	Milne et al.			
	6	6636238	2003-10-21	Amir et al.			
	7	6055538	2000-04-25	Kessenich et al.			
	8	5801685	1998-09-01	Miller et al.			
	9	5644674	1997-07-01	Aihara et al.			
	10	6144375	2000-11-07	Jain et al.			



11

6418421

2002-07-09

Hurtado et al.

**US Published Applications**

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20020194260	2002-12-19	Headley et al.			

**Remarks**

Note: Remarks are not for responding to an office action.

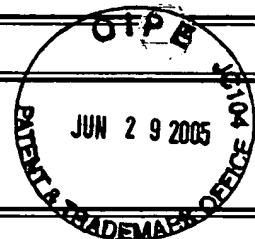
In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO 1449 form. Applicants do not waive any right to take appropriate action to establish patentability over the listed document(s) should it be applied as a reference(s) against the claims of the present application. It is respectfully requested that the Examiner fully consider the document(s), initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document(s) has been considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609. The undersigned certifies under 37 CFR 1.97(e)(2) that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of this information disclosure statement. The references contained in this information disclosure statement were cited by the Examiner in a related application. Accordingly, a single fee of \$180 is believed to be due pursuant to 37 CFR 1.97(d) and 1.17(p) for consideration of this reference(s). The Office is authorized to charge Deposit Account No. 19-0733 for this fee. If there are any discrepancies regarding this fee, please charge or credit Deposit Account No. 19-0733.

**Signature**

Examiner Name	Date

## FEE TRANSMITTAL

Electronic Version v10  
Stylesheet Version v10



## Title of Invention

Method and Apparatus for Capturing and Rendering Text Annotations for Non-Modifiable Electronic Content

Application Number: 09/455807 \*09/455807\*  
Date: 1999-12-07  
First Named Applicant: John L. Beezer  
Attorney Docket Number: 003797.84618  
Art Unit: 2174  
Examiner: Steven Sax

**TOTAL FEE AUTHORIZED \$180**

Patent fees are subject to annual revisions on or about October 1st of each year.

Fee Description	Fee Code	Amount \$	Fee Paid \$
Submission Of Information Disclosure Stmt Fee	1806	180	180

**AUTHORIZED BILLING INFORMATION**

The commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit account number: 190733

Access Code \*\*\*\*\*

Deposit name: Banner and Witcoff

Deposit authorized name: Gary D Fedorochko

Signature: /Gary D Fedorochko/

Date (YYYYMMDD): 2005-06-03

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